APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.
1940 DUKE STREET
ALEXANDRIA, VA 22314

EXAMINER
DINH, MINH

ART UNIT	PAPER NUMBER
2132	7

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Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

		Application No.	Applicant(s)
Office Action Summary		09/647,547	GRINNEBY, STEFAN
		Examiner	Art Unit
		Minh Dinh	2132

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☐ Responsive to communication(s) filed on _____ .

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-44* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-44* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☒ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☒ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☒ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____ .

      3.☒ Copies of the certified copies of the priority documents have been received in this National Stage
application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date *4*.

4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ .

5) ☐ Notice of Informal Patent Application (PTO-152)

6) ☐ Other: _____ .

DETAILED ACTION

1.   Claims 1-44 have been examined.

Drawings

2.   The drawings are objected to as failing to comply with 37 CFR 1.84(p)(4) because reference numeral "24" in figure 1 has been used to designate both a communication link and the firewall. Corrected drawing sheets are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The replacement sheet(s) should be labeled "Replacement Sheet" in the page header (as per 37 CFR 1.84(c)) so as not to obstruct any portion of the drawing figures. If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

Specification

3.   The disclosure is objected to because of the following informalities: change "host computer, 24" (page 8, line 18) to "host computer, 34" (see figure 1);

        Appropriate correction is required.

Claim Rejections - 35 USC § 102

4.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5.   Claims 1-4, 16-19 and 32-35 are rejected under 35 U.S.C. 102(e) as being

anticipated by Riggins et al. (6,131,116).

a.   Regarding claim 1, which is representative of claims 16 and 32, Riggins

discloses a system comprising a client computer which meets the limitation of a visitor's

computer (fig. 1, element 150), a master server which meets the limitation of an

administration computer (fig. 1, element 130), an application computer (fig. 1, element

110), a firewall protecting the application computer (col. 1, line 62 – col. 2, line 2; fig. 1,

element 130) and a transmission path over the Internet (fig. 1, element 140),

characterized in that communications between said visitor's computer and the

application computer are mediated by a set of applets being generated by the

administration computer and operating on the visitor's computer, the set of applets meet

the limitation of an electronic badge (figures 6 and 8).

b.   Regarding claims 2, 17 and 33, Riggins further discloses that the administration

computer and the application computer are realized on a single data processing

machine (fig. 1, elements 130 and 138).

c.   Regarding claims 3, 18 and 34, Riggins further discloses that the administration

computer and the application computer are distinct data processing machines, and in

that communications between the visitor's computer and the application computer are

controlled by a firewall located in the administration computer (fig. 1, elements 150, 130

and 110 and fig. 7).

d.   Regarding claims 4, 19 and 35, Riggins further discloses that the administration

computer is protected by a firewall (col. 1, line 62 – col. 2, line 2).

Claim Rejections - 35 USC § 103

6.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

7.   Claims 5-13, 20-23, 25-27 and 36-43 are rejected under 35 U.S.C. 103(a) as

being unpatentable over Riggins as applied to claims 1, 16 and 32 above, and further in

view of Hudson et al. (6,055,637).

a.   Regarding claims 5, 20 and 36, Riggins does not disclose a single applet for

accessing all authorized services. However, Riggins discloses a set of applets

downloaded together and each responsible for accessing a separate authorized service. It is well known in the art that a large program can comprise multiple modules each performing a separate task for ease of development and maintenance. In addition, the applets implemented in the Riggins reference meet the definition of a Java applet in that applets are small programs. Therefore, the Riggins set of applets meets the limitation of the claimed applet.

Riggins does not disclose that the applet contains an identifier, a password and a list of access rights. Hudson discloses a system for controlling access to resources utilizing a credential token that contains a user ID, a password and a list of access right (col. 2, line 67 – col. 3, line 4; lines 23-28, 31-38); the token allows authorized access to resources, so it is functionally equivalent to an electronic badge. It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the system of Riggins such that the electronic badge contains an identifier, a password and a list of access rights, as taught by Hudson. The motivation for doing so would have been that the token represents authorization for the user to access all the resources listed on the access lists (col. 3, lines 4-5).

b.   Regarding claims 6, 21 and 37, Hudson further discloses that the list of access rights of claim 5 permits access to one or more software applications (col. 3, lines 4-5 and fig. 1).

c.   · Regarding claims 7, 22 and 38, Riggins further discloses that the applet is adapted to run on the visitor's computer and cause one or more icons to be displayed (col. 8, lines 11-19).

d.   Regarding claims 8, 23 and 39, Riggins further discloses a Web server adapted

to issue electronic badges (fig. 1, elements 133, 136). Riggins does not disclose that

the administration computer includes a control panel. Hudson discloses an

administrator issuing credential token utilizing a security database, the token allows

authorized access to resources, so it is functionally equivalent to an electronic badge

(see Abstract; col. 4, lines 50-58). Hudson does not explicitly disclose that the

administration computer includes a control panel. However, this feature is deemed to

be inherent to the Hudson system. The administrator would not be able to issue

credential token without a control panel. It would have been obvious to one of ordinary

skill in the art at the time the invention was made to modify the system of Riggins such

that the administration computer includes a control panel adapted to issue electronic

badges, as taught by Hudson, and accordingly, the control panel is linked to the Web

server. The motivation for doing so would have been to allow the administrator to

perform issuing of tokens.

e.   Regarding claims 9, 25 and 40, Riggins does not discloses that the

administration computer includes a control server linked to the control panel and a

database of access rules linked to the control server. Hudson further discloses that the

administration computer of claim 8 includes a control server linked to the control panel

and a database of access rules linked to the control server (see fig. 3, col. 4, lines 55-

58). It would have been obvious to one of ordinary skill in the art at the time the

invention was made to modify the system of Riggins such that the administration

computer includes a control server linked to the control panel and a database of access

rules linked to the control server, as taught by Hudson. The motivation for doing so would have been that the administrator could have access to users' identification and authorization information.

f.   Regarding claims 10, 26 and 41, Riggins further discloses that the administration computer functions as a firewall protecting the application computer (fig. 7).

g.   Regarding claims 11, 27 and 42, Riggins discloses an access control means to protect the Web server (col. 1, lines 53-55). However, Riggins does not explicitly disclose using passwords. Hudson discloses using user ID and password for authentication and authorization purposes (fig. 1). It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the system of Riggins to use user ID and password, as taught by Hudson, for authentication and authorization purposes.

h.   Regarding claims 12, Riggins further discloses that the electronic badge is deposited for collection on the Web server (fig. 1, elements 133 and 136).

i.   Regarding claim 13, Riggins further discloses that an authorized visitor's computer can download the electronic badge by accessing the Web server if (col. 1, lines 53-55; fig. 1, elements 133 and 136). Riggins does not explicitly disclose the visitor's computer providing password and identification. Hudson discloses users providing user ID and password for authentication and authorization purposes (fig. 1). It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the system of Riggins to use user ID and password, as taught by Hudson, for authentication and authorization purposes.

j.   Regarding claim 43, Riggins further discloses that the electronic badge is

deposited for collection on the Web server (fig. 1, elements 133 and 136).

8.   Claims 14 and 44 is rejected under 35 U.S.C. 103(a) as being unpatentable over

Riggins in view of Hudson as applied to claim 8 and 36 above, and further in view of

Scheifler et al. (6,138,238). Riggins and Hudson do not disclose that the access rights

associated with the electronic badge can be changed dynamically. Scheifler discloses a

system regulating access to resources in which access rights associated with a principle

can be changed dynamically (col. 4, lines 26-29). It would have been obvious to one of

ordinary skill in the art at the time the invention was made to modify the system of

Riggins and Hudson such that the access rights associated with the electronic badge

can be changed dynamically, as taught by Scheifler, so that the security in computer

systems could be enhanced (col. 4, lines 54-56).

9.   Claims 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Riggins

in view of Hudson as applied to claim 8 above, and further in view of Montulli

(5,774,670). Riggins and Hudson do not disclose that the electronic badge is deleted

by a signal from the control server. Montulli discloses a cookie being deleted by a

signal from a server; the cookie is functionally equivalent to the electronic badge (col. 9,

lines 34-41). It would have been obvious to one of ordinary skill in the art at the time the

invention was made to modify the system of Riggins and Hudson such that the

electronic badge is deleted by a signal from the control server, as taught by Montulli, so

that the server (col. 4, lines 54-56) so that the server could remove undesired cookies previously sent to a client.

10.   Claims 24 and 28-29 are rejected under 35 U.S.C. 103(a) as being unpatentable over Riggins in view of Hudson as applied to claim 23 above, and further in view of Daly et al. (5,875,394).

a.   Regarding claim 24, Riggins and Hudson do not disclose the steps of establishing a voice link over the PSTN between the user of the visitor's computer and an operator at the administration center, the operator verifying the user and assigning and communicating a password to the user over the voice link. Daly discloses a process for securely assigning a password comprising the steps of establishing a voice link over the PSTN between a user and an operator at the administration center, the operator verifying the user and assigning and communicating a password to the user over the voice link (see fig. 3). It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the method of Riggins and Hudson to include the steps of establishing a voice link over the PSTN between the user of the visitor's computer and an operator at the administration center, the operator verifying the user and assigning and communicating a password to the user over the voice link, as taught by Daly, in order to avoid the risk of piracy (col. 2, lines 33-36).

b.   Regarding claim 28, Riggins further discloses that the electronic badge is deposited for collection on the Web server (fig. 1, elements 133 and 136).

c.   Regarding claim 29, Riggins further discloses that an authorized visitor's

computer can download the electronic badge by accessing the Web server if (col. 1,

lines 53-55; fig. 1, elements 133 and 136). Riggins does not explicitly disclose the

visitor's computer providing password and identification. Hudson discloses users

providing user ID and password for authentication and authorization purposes (fig. 1).

It would have been obvious to one of ordinary skill in the art at the time the invention

was made to modify the method of Riggins to use user ID and password, as taught by

Hudson, for authentication and authorization purposes.

11.   Claim 30 is rejected under 35 U.S.C. 103(a) as being unpatentable over Riggins,

Hudson and Daly as applied to claim 24 above, and further in view of Susaki et al.

(6,189,032). Riggins, Hudson and Daly do not disclose the steps of said visitor

requesting access, while connected to said application computer, to a first software

application, not pre-authorized on said electronic visitor's badge, said control panel

giving an alarm condition, said host confirming over said voice link that the said visitor

has requested access to the first software application, and modifying the access rights

associated with the electronic visitor's badge via said control panel. Susaki discloses a

method for controlling access rights to services comprising the steps of a user

requesting access, while connected to said application computer, to a service, not pre-

authorized according to the user's access rights, giving an alarm condition, confirming

that the user has requested access to the service, and modifying the access rights

associated with the user (col. 3, lines 41-54). It would have been obvious to one of

ordinary skill in the art at the time the invention was made to modify the method of

Riggins, Hudson and Daly to include the steps of said visitor requesting access, while

connected to said application computer, to a first software application, not pre-

authorized on said electronic visitor's badge, said control panel giving an alarm

condition, said host confirming over said voice link that the said visitor has requested

access to the first software application, and modifying the access rights associated with

the electronic visitor's badge via said control panel, as taught by Susaki, so that access

to services that need approval and consent by another party could properly be

controlled (col. 3, lines 55-59).

12.   Claim 31 is rejected under 35 U.S.C. 103(a) as being unpatentable over Riggins,

Hudson and Daly as applied to claim 24 above, and further in view of Montulli. Riggins,

Hudson and Daly do not disclose that the electronic badge is deleted by a signal from

the control server. Montulli discloses a cookie being deleted by a signal from a server;

the cookie is functionally equivalent to the electronic badge (col. 9, lines 34-41). It

would have been obvious to one of ordinary skill in the art at the time the invention was

made to modify the method of Riggins, Hudson and Daly such that the electronic badge

is deleted by a signal from the control server, as taught by Montulli, so that the server

(col. 4, lines 54-56) so that the server could remove undesired cookies previously sent

to a client.

Conclusion

13.   The prior art made of record and not relied upon is considered pertinent to
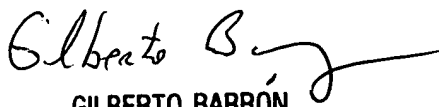
applicant's disclosure.

    Parker et al. (5,729,734) discloses a file privilege administration method.

    Mirsa et al. (5,757,920) discloses a logon certificate.

    Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Minh Dinh whose telephone number is 703-306-5617.

The examiner can normally be reached on Mon - Fri: 9:00 am - 5:30 pm.

    If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Gilberto Barron can be reached on 703-305-1830. The fax phone number

for the organization where this application or proceeding is assigned is 703-872-9306.

    Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

published applications may be obtained from either Private PAIR or Public PAIR.

Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see http://pair-direct.uspto.gov. Should

you have questions on access to the Private PAIR system, contact the Electronic

Business Center (EBC) at 866-217-9197 (toll-free).

MD

Minh Dinh
Examiner
Art Unit 2132

GILBERTO BARRON
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100

MD
6/28/2004